

FORM PTO-1390
REV. 5-93US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTORNEYS DOCKET NUMBER
P01,0218**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**U.S. APPLICATION NO. (if known, see 37 CFR 1.5)
09/868969INTERNATIONAL APPLICATION NO.
PCT/DE99/03947INTERNATIONAL FILING DATE
10 December 1999PRIORITY DATE CLAIMED
23 December 1998

TITLE OF INVENTION

SEMI-SUBMERSIBLE DEADWEIGHT CARGO VESSEL

APPLICANT(S) FOR DO/EO/US

Peter Andersen and Hans Van Mameren

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
 - a. ☒ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) - **UNSIGNED**.
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; **(PTO 1449, Prior Art, Search Report, References)**.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
(SEE ATTACHED ENVELOPE)
13. ☒ Amendment "A" Prior to Action.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☒ A substitute specification.
15. ☐ A change of address letter attached to the Declaration.
16. ☒ Other items or information:
 - a. ☒ Submission of drawings and drawing changes
 - b. ☒ EXPRESS MAIL #EL843728186US

U.S. APPLICATION NO. 097/868969

INTERNATIONAL APPLICATION NO.
PCT/DE99/03947

KEY'S DOCKET NUMBER
P01,0218

17. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):

Search Report has been prepared by the EPO or JPO \$860.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) \$690.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but
international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) \$710.00

Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search
fee (37 C.F.R. 1.445(a)(2)) paid to USPTO \$1000.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims
satisfied provisions of PCT Article 33(2)-(4) \$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS

PTO USE ONLY

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the
earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims

Number Filed

Number
Extra

Rate

Total Claims

11

- 20 =

0

X \$ 18.00

\$

Independent Claims

01

- 3 =

0

X \$ 80.00

\$

Multiple Dependent Claims

\$270.00 +

\$

TOTAL OF ABOVE CALCULATIONS =

\$ 860.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be
filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

SUBTOTAL =

\$ 860.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from
the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$ 860.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

TOTAL FEES ENCLOSED =

\$ 860.00

Amount to be
refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 860.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate
copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment
to Deposit Account No. 50-1519. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be
filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SCHIFF HARDIN & WAITE
PATENT DEPARTMENT
6600 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6473
CUSTOMER NUMBER 26574

SIGNATURE

Steve H. Noll
NAME

28,982

Registration Number

09/868969

JC18 Rec'd PCT/PTO 22 JUN 2001

BOX PCT

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE
UNDER THE PATENT COOPERATION TREATY – CHAPTER II

SUBMISSION OF DRAWINGS

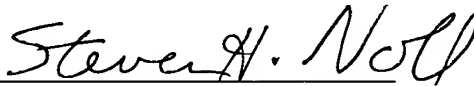
APPLICANT(S): ANDRESON, P, et al.
ATTORNEY DOCKET NO: P01,0218
INTERNATIONAL APPLICATION NO: PCT/DE99/03947
INTERNATIONAL FILING DATE: 10 DEC 1999
INVENTION: SEMI-SUBMERSIBLE
DEADWEIGHT CARGO VESSEL

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

Applicants herewith submit one sheet of drawings showing Figures 1 – 3
in the captioned PCT application.

Respectfully submitted,



Steven H. Noll (Reg. No. 28,982)

SCHIFF, HARDIN & WAITE
Patent Department
6600 Sears Tower
233 South Wacker Drive
Chicago, IL 60606
Telephone: (312) 258-5790
Attorneys for Applicant(s)

Customer Number: 26574

20/22E0 6968969

**IN THE UNITED STATES ELECTED OFFICE OF
THE UNITED STATES PATENT AND TRADEMARK OFFICE
UNDER THE PATENT COOPERATION TREATY - CHAPTER II**

LETTER PRESENTING FACTS

5 APPLICANTS: Peter Andersen and Hans Van Mameren
 ATTORNEY
 DOCKET NO.: P01,0218
 SERIAL NO.: 09/868,969 EXAMINER:
 FILING DATE: ART UNIT:
10 INTERNATIONAL APPLICATION NO.: PCT/DE99/03947
 INTERNATIONAL FILING DATE: 10 December 1999
 INVENTION: "SEMI-SUBMERSIBLE DEADWEIGHT CARGO VESSEL"

BOX PCT

15 Assistant Commissioner for Patents
 Washington, D.C. 20231

S I R:

 A request to begin national examination procedures under 35 USC 371(f)
 along with a copy of the International Application, a translation of the application,
 an unsigned Declaration of the inventors and an amendment, substitute specification
20 and Submission of Drawings with drawing changes were mailed by U.S. Express
 Mail to the United States Patent Office on June 22, 2001 and a post card receipt
 dated 22 June 2001 giving a U.S. Serial No. 09/868,969 (copy attached) was received
 from the U.S. Patent Office. Applicants' attorneys have not received any additional
 correspondence from the Patent Office and have not filed any additional
25 correspondence with the Patent Office or the PCT Branch with regard to this
 National Stage Application.

Due to the long delay in not receiving any communication from the Patent Office, a telephone inquiry was placed with the PCT Help Desk on March 25, 2002. During this inquiry, the undersigned attorney was advised that a Change of Address had been entered in U.S. Serial No. 09/868,969 sometime in July of 2001 and that
5 a Notification of Missing Requirements was mailed on August 13, 2001. The undersigned attorney advised the Help Desk that we had not filed any Change of Address for this application and that we had not received a Notification of Missing Requirements. The person at the Help Desk advised applicants' attorneys to contact Lemont Hunter, a paralegal in the PCT Division, who was handling this application.


10 During a telephone conference with Mr. Hunter on March 26, 2002, the undersigned attorney again explained that we had not received any communication from the Patent Office, except for the post card receipt, and that no Change of Address had been filed by applicants' attorneys. Mr. Hunter advised the undersigned attorney that a Notification of Missing Requirements was mailed on August 13, 2001
15 to P.O. Box 3321, Chicago at 222 Merchandise Mart Plaza, Chicago, Illinois 60654. Mr. Hunter also stated that we should file a second submission to submit the signed Declaration, a Change of Address to change the address back to Schiff Hardin & Waite, Patent Department, 6600 Sears Tower, 233 South Wacker Drive, Chicago, Illinois 60606-6473, Customer Number 26574, along with a letter setting forth the
20 facts.

Attached to this second submission form is a Change of Address, Declaration, which was signed by Peter Andersen on October 26, 2001 and by Hans Van Mameren on October 29, 2001 and a check for the \$130 surcharge. It is respectfully requested that, in view of these submissions, a Notification of
25 Acceptance be issued in the above-identified application, since it is believed that the only missing requirement was the Declaration signed by the two inventors. If

additional requirements are necessary, it is requested that a new Notification of Missing Requirements be issued setting a new period for response so that applicants may have a chance to respond to the new requirements.

5 It is respectfully submitted that the delay in responding to the Notification of Missing Requirements, which was never received by applicants' attorneys, is not due to the fault of applicants and is due to an error that occurred in the Change of Address for this application, which was due either to a typographical error made by the party requesting the Change of Address and/or an error in entering the Serial No. for that document. Thus, it is submitted that no additional fees are required for
10 responding to the above-mentioned Notification, which was never received by applicants' attorneys.

Respectfully submitted,

 (Reg. No. 24,149)
James D. Hobart

15 SCHIFF HARDIN & WAITE
Patent Department
6600 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606
20 Telephone: (312) 258-5781
Customer Number 26574

DATED: March 27, 2002

**IN THE UNITED STATES ELECTED OFFICE OF
THE UNITED STATES PATENT AND TRADEMARK OFFICE
UNDER THE PATENT COOPERATION TREATY - CHAPTER II**

CHANGE OF ADDRESS OF APPLICANTS' REPRESENTATIVES

5 APPLICANTS: Peter Andersen and Hans Van Mameren
 ATTORNEY
 DOCKET NO.: P01,0218
 SERIAL NO.: 09/868,969 EXAMINER:
 FILING DATE: ART UNIT:
10 INTERNATIONAL APPLICATION NO.: PCT/DE99/03947
 INTERNATIONAL FILING DATE: 10 December 1999
 INVENTION: "SEMI-SUBMERSIBLE DEADWEIGHT CARGO VESSEL"

BOX PCT
 Assistant Commissioner for Patents
15 Washington, D.C. 20231

S I R:

 In July 2001, a Change of Address for applicants' representatives was
 incorrectly entered in the above-identified application. It is requested that the Patent
 Office change their records to indicate the firm designated on the original
20 "Transmittal Letter to the United States Designated/Elected Office (DO/EO/US)
 Concerning a Filing Under 35 USC 371" which was filed on June 22, 2001.

All future correspondence with regard to the above-identified application,
therefore, should be sent to the following address:

SCHIFF HARDIN & WAITE
Patent Department
6600 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6473
Customer Number: 26574

Respectfully submitted,

 (Reg. No. 24,149)
James D. Hobart
SCHIFF HARDIN & WAITE
Patent Department
6600 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606
Telephone: (312) 258-5781
Customer Number: 26574

DATED: March 27, 2002

CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Mailing Label Number EL843728186US

Date of Deposit: JUNE 22, 2001

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT
Assistant Commissioner for Patents
Washington DC 20231**

**Case Number: P01,0218
Applicant(s): PETER ANDERSEN ET AL.**

**International Application No. PCT/DE99/03947
International Filing Date 10 DECEMBER 1999
Priority Date Claimed 23 DECEMBER 1998**

Title: SEMI-SUBMERSIBLE DEADWEIGHT CARGO VESSEL

Enclosed are the following documents:

International application as filed;
English Translation;

Unsigned Declaration;

PTO 1390 in duplicate;
Amendment "A" prior to action;

Submission of Drawings;

Substitute Specification and Mark-Up for Substitute Specification;

Fee: \$ 860.00
Postcard.



Signature of person mailing documents and fees

HON. COMMISSIONER OF PATENTS & TRADEMARKS
SHINGTON, D.C. 20231

SIR:

09/868969

PLEASE APPLY A RECEIPT STAMP HERETO AND MAIL TO
ACKNOWLEDGE RECEIPT OF THE ATTACHED:

Andersen, et al.
APPLICANT

PCT Transmittal, Application, Unsigned
Declaration, Amendment "A", Drawings
Substitute Specification, \$860.00 check
TYPE OF DOCUMENT(S)

June 22, 2001
MAILING DATE

P01,0218
REFERENCE NUMBER

SN
Atty No. 28,982

582 Rec
SCHIFF HARDIN & WAITE

22 JUN 2001